



Maryland Biotechnology Investment Incentive Tax Credit
Application for Certification for FY 2023
Form A - Investor
This application must be submitted online
in order to participate in the electronic queue registration.

Form A

General Information

Are you an: Individual Investor Corporation Investor (All Kinds Including Sub-Chapter S) Non Sub-Chapter S Corporation Pass-Through Entities

Note: Any certificate issued by Commerce will use the applicant type and name as listed in this application. Therefore, you must select the appropriate applicant type and name that will be investing under the Biotechnology Investment Incentive Tax Credit when completing this application.

**** 1. Full Legal Name of Organization**

***2. Email Address** ***3. Federal Tax Identification Number**

***4. Legal Form of Entity** LLC LLP Limited Partnership General Partnership
 Trust Other:

***5. Primary Contact Person** ***Title**
***Business Phone** ***Phone**
***Email**

6. Secondary Contact Person **Title**
Business Phone **Phone**
Email

7. Business Address **City**
State **Zip**
Business Phone

If the address is in a different country, place the entire address in the Address field, select "Foreign State" in the State field, and 00000 in the zip field.

***8. Investment Amount** ***Your investment will be made in:** Cash Convertible Note
Note: Investment includes a convertible debt created by the qualified investor applying for the tax credit within 1 year prior to the date that the qualified investor submit this application. The convertible debt instrument should not be converted into an equity interest until Commerce issues the Initial Certificate of Eligibility.

- *9. Are you a founder of the biotechnology company, or the spouse or minor child of the founder?** Yes No
***10. Are you currently working, or have worked for the past year, for the biotechnology company?** Yes No
***11. Are you the spouse or minor child of an employee who either works for the biotechnology company or has worked for the biotechnology company within the past year?** Yes No

Note: A qualified investor may not include a founder or current employee if the biotechnology company has been in active business for more than five years. For the definitions of founder and current employee, review the FAQs located [here](#).

***12. Form A can only be submitted if the biotechnology company has submitted the Form B. The Form B application must be submitted before your investor application may be submitted.**

Please type the first three letters of the Biotechnology Company that you plan on investing in, and then select the company that you wish to invest in. If no company shows up, then please verify the company name and submission of the Form B with the biotechnology company.

Type first 3 letters of biotechnology company:

Please Save Often

You are missing a required answer. You can still save, but you will be unable to submit until every field is filled.

Attachments

Additional documents may be uploaded for each question.

***13.1 A certified copy of organization's articles of incorporation, articles of organization, partnership agreements, declaration of trust, will or other organizing documents.**

Insert additional document

*13.2 An executed copy of the organization's operating agreement, partnership agreement, or other document designating the managing member or managing partner as well as granting the authority to make investments.

Insert additional document

*13.3 A Certificate of Status issued by the Maryland State Department of Assessments and Taxation (SDAT) issued within the last 30 days. An SDAT Certificate of Status may be requested [here](#). For foreign entities, a current certificate of status from the state/jurisdiction of organization.

Insert additional document

*13.4 The names and business addresses of all officers, directors, managing members, general partners, or other persons with management authority over the business of the applicant as the case may be.

Insert additional document

*13.5 The name, address and percentage of ownership of each person or entity who or which holds equity interests in the applicant of any class or classes. Names of any individual owners of any privately-held entity must be provided. You must disclose all current owners including the names of any individual owners of any privately-held entity that is a direct or indirect owner of the investor company. You must list their full and legal names. The total percentage must equal 100%.

Insert additional document

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Additional Information

- * 14.1 Has the Applicant, or any partner, director, officer, member, or principal stockholder been convicted of a criminal offense other than a traffic violation? Yes No
- * 14.2 Has the Applicant, or any partner, director, officer, member, or principal stockholder been a debtor in bankruptcy or insolvency proceedings? Yes No
- * 14.3 Has the Applicant, or any partner, director, officer, member, or principal stockholder been a party to any litigation in the past two years? Yes No
- * 14.4 Does the Applicant, or any partner, director, officer, member, or principal stockholder owe any outstanding judgments? Yes No
- * 14.5 Does the Applicant, or any partner, director, officer, member, or principal stockholder owe any delinquent taxes? Yes No
- * Are there any other relevant information or documentation you would like to add to support this application? Yes No

*15. Provide the percentage of ownership in the proposed Qualified Maryland Biotechnology Company.

- * Before the proposed acquisition of ownership
- * After the proposed acquisition of ownership

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Opportunity Zone Enhancements

*16. Is the biotechnology company located in an Opportunity Zone? Yes No

*17. Is the biotechnology company considered a qualified Opportunity Zone business? Yes No

*18. Is the investor a qualified Opportunity Zone fund seeking to make an investment in the qualified Opportunity Zone business as defined in Article 1400Z-2 of the Internal Revenue Code (see instructions on [Addendum A](#) for more information)? Yes No

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Statistical Information

This form is for gathering statistical data only. This form will be separated from the application and the information provided in it will not be a part of the application approval process. Furnishing this information is voluntary; failure to do so will have no effect on the approval of the requested financial assistance.

If the applicant will be providing the requested financial assistance to another recipient (e.g. a facility user or borrower), "Respondent" should be the recipient of the financial assistance.

Is Respondent the: Applicant and/or Recipient (or Facility User) Respondent does not wish to furnish this information

Respondent is: a business organization an individual

publicly held entity or other organization not classifiable as owned by individuals of a particular gender, race, ethnicity, or veteran status.

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Affidavit

Under penalties of perjury, I declare that I have examined this application, and to the best of my knowledge and belief, it is true, correct, and accurately lists the amount of investments during the tax year. I certify that after making the investment I will be the direct owner of the investment and no portion of the funds used to make the investment were derived, directly or indirectly, from the QMBC/Company or any owner of the QMBC/Company.

*Signature: *Title:

(Signatory's Email if not the contact:)

You are missing either the affirm box or the signature and Title. You can still save, but you will not be able to submit until all of the required fields are filled properly.

Please Save Often

The Submit button will only become available once all of the required fields are filled properly